

and the number and type of discrepancies that were identified;

(iv) Actions that have been taken or are planned to correct identified deficiencies or misclassification actions, and to deter their reoccurrence; and

(v) Best practices that were identified during self-inspections.

Subpart G—Security Education and Training

§ 2001.70 General.

(a) *Purpose.* This subpart sets standards for agency security education and training programs. Implementation of these standards should:

(1) Ensure that all executive branch employees who create, process, or handle classified information have a satisfactory knowledge and understanding of classification, safeguarding, and declassification policies and procedures;

(2) Increase uniformity in the conduct of agency security education and training programs; and

(3) Reduce instances of over-classification or improper classification, improper safeguarding, and inappropriate or inadequate declassification practices.

(b) *Responsibility.* The senior agency official is responsible for the agency's security education and training program. The senior agency official shall designate agency personnel, as necessary, to assist in carrying out this responsibility.

(c) *Approach.* Security education and training should be tailored to meet the specific needs of the agency's security program and the specific roles employees are expected to play in that program. The agency official(s) responsible for the program shall determine the means and methods for providing security education and training. Training methods may include briefings, interactive videos, dissemination of instructional materials, on-line presentations, and other media and methods. Each agency shall maintain records about the programs it has offered and employee participation in them.

(d) *Frequency.* The frequency of agency security education and training will vary in accordance with the needs of the agency's security classification

program, subject to the following requirements:

(1) Initial training shall be provided to every person who has met the standards for access to classified information in accordance with section 4.1 of the Order.

(2) Original classification authorities shall receive training in proper classification and declassification prior to originally classifying information and at least once each calendar year thereafter.

(3) Persons who apply derivative classification markings shall receive training in the proper application of the derivative classification principles of the Order prior to derivatively classifying information and at least once every two years.

(4) Each agency shall provide some form of refresher security education and training at least annually for all its personnel who handle or generate classified information.

§ 2001.71 Coverage.

(a) *General.* Each department or agency shall establish and maintain a formal security education and training program which provides for initial training, refresher training, specialized training, and termination briefings. This subpart establishes fundamental security education and training standards for original classification authorities, derivative classifiers, declassification authorities, security managers, classification management officers, security specialists, and all other personnel whose duties significantly involve the creation or handling of classified information. Agency officials responsible for the security education and training programs should determine the specific training to be provided according to the agency's program and policy needs.

(b) *Initial training.* All cleared agency personnel shall receive initial training on basic security policies, principles, practices, and criminal, civil, and administrative penalties. Such training must be provided in conjunction with the granting of a security clearance, and prior to accessing classified information.

(c) *Training for original classification authorities.* Original classification authorities shall be provided detailed training on proper classification and declassification, with an emphasis on the avoidance of over-classification. At a minimum, the training shall cover classification standards, classification levels, classification authority, classification categories, duration of classification, identification and markings, classification prohibitions and limitations, sanctions, classification challenges, security classification guides, and information sharing.

(1) Personnel shall receive this training prior to originally classifying information.

(2) In addition to this initial training, original classification authorities shall receive training in proper classification and declassification at least once each calendar year.

(3) Original classification authorities who do not receive such mandatory training at least once within a calendar year shall have their classification authority suspended until such training has taken place.

(i) An agency head, deputy agency head, or senior agency official may grant a waiver of this requirement if an individual is unable to receive this training due to unavoidable circumstances. All such waivers shall be documented.

(ii) Whenever such a waiver is granted, the individual shall receive the required training as soon as practicable.

(d) *Training for persons who apply derivative classification markings.* Persons who apply derivative classification markings shall receive training in the proper application of the derivative classification principles of the Order, emphasizing the avoidance of over-classification. At a minimum, the training shall cover the principles of derivative classification, classification levels, duration of classification, identification and markings, classification prohibitions and limitations, sanctions, classification challenges, security classification guides, and information sharing.

(1) Personnel shall receive this training prior to derivatively classifying information.

(2) In addition to this preparatory training, derivative classifiers shall receive such training at least once every two years.

(3) Derivative classifiers who do not receive such mandatory training at least once every two years shall have their authority to apply derivative classification markings suspended until they have received such training.

(i) An agency head, deputy agency head, or senior agency official may grant a waiver of this requirement if an individual is unable to receive this training due to unavoidable circumstances. All such waivers shall be documented.

(ii) Whenever such a waiver is granted, the individual shall receive the required training as soon as practicable.

(e) *Other specialized security education and training.* Classification management officers, security managers, security specialists, declassification authorities, and all other personnel whose duties significantly involve the creation or handling of classified information shall receive more detailed or additional training no later than six months after assumption of duties that require other specialized training.

(f) *Annual refresher security education and training.* Agencies shall provide annual refresher training to employees who create, process, or handle classified information. Annual refresher training should reinforce the policies, principles and procedures covered in initial and specialized training. Annual refresher training should also address identification and handling of other agency-originated information and foreign government information, as well as the threat and the techniques employed by foreign intelligence activities attempting to obtain classified information, and advise personnel of penalties for engaging in espionage activities. Annual refresher training should also address issues or concerns identified during agency self-inspections.

(g) *Termination briefings.* Except in extraordinary circumstances, each agency shall ensure that each employee who is granted access to classified information and who leaves the service of the agency receives a termination briefing. Also, each agency employee

whose clearance is withdrawn or revoked must receive such a briefing. At a minimum, termination briefings must impress upon each employee the continuing responsibility not to disclose any classified information to which the employee had access and the potential penalties for non-compliance, and the obligation to return to the appropriate agency official all classified documents and materials in the employee's possession.

(h) *Other security education and training.* Agencies are encouraged to develop additional security education and training according to program and policy needs. Such security education and training could include:

- (1) Practices applicable to U.S. officials traveling overseas;
- (2) Procedures for protecting classified information processed and stored in automated information systems;
- (3) Methods for dealing with uncleared personnel who work in proximity to classified information;
- (4) Responsibilities of personnel serving as couriers of classified information; and
- (5) Security requirements that govern participation in international programs.

Subpart H—Standard Forms

§ 2001.80 Prescribed standard forms.

(a) *General.* The purpose of the standard forms is to promote the implementation of the government-wide information security program. Standard forms are prescribed when their use will enhance the protection of national security information and/or will reduce the costs associated with its protection. The use of the standard forms prescribed is mandatory for agencies of the executive branch that create or handle national security information. As appropriate, these agencies may mandate the use of these forms by their contractors, licensees, or grantees who are authorized access to national security information.

(b) *Waivers.* Except for the SF 312, "Classified Information Nondisclosure Agreement," and the SF 714, "Financial Disclosure Report," (which are waivable by the Director of National Intelligence, as the Security Executive

Agent, under E.O. 13467, *Reforming Processes Related to Suitability for Government Employment, Fitness for Contractor Employees, and Eligibility for Access to Classified National Security Information*) only the Director of ISOO may grant a waiver from the use of the prescribed standard forms. To apply for a waiver, an agency must submit its proposed alternative form to the Director of ISOO along with its justification for use. The Director of ISOO will review the request and notify the agency of the decision. Waivers approved prior to December 29, 2009, remain in effect and are subject to review.

(c) *Availability.* Agencies may obtain copies of the standard forms prescribed by ordering through FEDSTRIP/MILSTRIP or from the GSA Consumer Global Supply Centers, or the GSA Advantage on-line service. Some of these standard forms can be downloaded from the GSA Forms Library.

(d) *Standard Forms.* Standard forms required for application to national security information are as follows.

(1) *SF 311, Agency Security Classification Management Program Data:* The SF 311 is a data collection form completed by only those executive branch agencies that create and/or handle classified national security information. The form is a record of classification management data provided by the agencies. The agencies submit the completed forms on an annual basis to ISOO, no later than November 15 following the reporting period, for inclusion in a report to the President.

(2) *SF 312, Classified Information Nondisclosure Agreement:*

(i) The SF 312 is a nondisclosure agreement between the United States and an employee of the Federal Government or one of its contractors, licensees, or grantees. The prior execution of this form by an individual is necessary before the United States Government may grant that individual access to classified information, with the exception of an emergency as defined in section 4.2(b) of the Order.

(ii) Electronic signatures on SF-312s are prohibited.

(iii) The SF 312 is the current authorized form; if an employee originally signed the now outdated SF 189 or SF 189-A, or a form under an approved